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DATE: April 30, 2004

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**F A X C O M M U N I C A T I O N**

**TO: Sough Hyung Sub**  
**SUPERVISORY EXAMINER**  
**Group Art Unit 3628**

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**FROM: Philip Koenig**

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**RE:**

Application SN 09/228909  
Title: Trading Systems for Fixed-Value Contracts  
Applicants: Lawrence Kohls et al

**MESSAGE**

Please find enclosed, for filing in this case, a Preliminary Amendment under 37CFR 1.115, and a Listing of All Pending Claims Upon Submission of Preliminary Amendment.

This case was previously assigned to Examiner Pedro Kanof, but I have been informed it has since been assigned to another examiner.

Sincerely yours,

Philip Koenig  
Reg. No. 31,386

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## CERTIFICATE OF FACSIMILE TRANSMISSION

This correspondence is being transmitted by facsimile transmission to the United States Patent and Trademark Office on April 30, 2004, to Fax No. 703-872-9306

By 

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No: 09/228909

Attorney Docket No: LAK-1

Initially Filed: January 11, 1999

RCE Filed: June 19, 2002

Art Unit: (Formerly :2765)

Applicants: Lawrence KOHLS et al

(Now perhaps 3628?)

Supervisory Examiner: Souh Hyung Sub

Title: TRADING SYSTEM FOR FIXED VALUE CONTRACTS

## TRANSMITTAL OF PRELIMINARY AMENDMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

By Facsimile to: 703-872-9306

Commissioner:

Herewith please find enclosed the following papers for filing in the matter of the above-identified application for patent:

1. Preliminary Amendment submitted pursuant to 37 CFR 1.115.
2. Listing of Claims Pending Upon Submission of Preliminary Amendment

Should any fee may be due upon the filing of this Preliminary Amendment, you are hereby requested and authorized to charge any such fee to Pittas // Koenig deposit account No. 502052.

Respectfully submitted,

Dated: April 30, 2004

By 

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